

06-26-02

JUL 03 2002 6/4g

TECH CENTER 1600/2900

Please type a plus sign (+) inside this box → ☒

PTO/SB/21 (08-00)

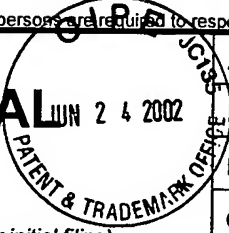
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no person is required to respond to a collection of information unless it displays a valid OMB control number.

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)



Application Number	10/080,503
Filing Date	02/22/02
First Named Inventor	Robert I. Higuchi
Group Art Unit	1614
Examiner Name	To be assigned
Attorney Docket Number	015110.0058.UTL1

Total Number of Pages in This Submission

273

## ENCLOSURES (check all that apply)

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment/Reply<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input checked="" type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Form PTO/SB/08A; copies of 10 patent references cited therein; and return postcard. |
|--|--|--|

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Brobeck, Phleger & Harrison LLP
Signature	Richard H. Pagliery, Reg. No. 44,276
Date	June 24, 2002

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 06/24/02

Typed or printed name	Dorothy L. Chambers	Date	06/24/02
Signature			

Burden Hour Statement: This form is estimated to take 0.7 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

#3 7/4/2  
Patent  
015110.0038.UTL1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Applicant: Robert I. Higuchi, et al

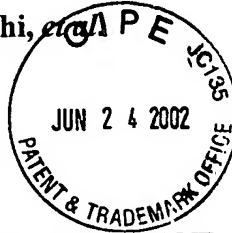
Serial No.: 10/080,503

Filed: February 22, 2002

For: **TRICYCLIC QUINOLINONE AND  
TRICYCLIC QUINOLINE  
ANDROGEN RECEPTOR  
MODULATOR COMPOUNDS  
AND METHODS**

Group Art Unit: 1614

Examiner: Not Yet Assigned



RECEIVED  
JUL 03 2002  
TECH CENTER 1600/2900

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
Washington, D.C. 20231

Sir:

In compliance with the applicants' duty under 37 CFR 1.56, the following information is brought to the attention of the Examiner. The items are listed on the attached Form PTO/SB/08A and copies are enclosed for the convenience of the Examiner.

The items identified in this Information Disclosure Statement may or may not be "material" within the meaning of 37 CFR 1.56, and the submission thereof by Applicant shall not

CERTIFICATE OF MAILING  
(37 C.F.R. §1.10)

I hereby certify that this paper (along with anything referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as 'Express Mail Post Office To Addressee' in an envelope addressed to the Commissioner for Patents, Washington, D.C. 20231.

EL573392346US

June 24, 2002  
Date of Deposit

Dorothy L. Chambers

Name of Person Mailing Paper

Signature of Person Mailing Paper

be construed as an admission that any such patent, publication or other information referred to therein is material or considered to be material (37 CFR 1.97(h)), or even qualifies as "prior art" under 35 U.S.C. § 102 with respect to this invention, unless specifically designated by Applicant as such.

The filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information, as defined in 37 CFR 1.56, exists.

This Information Disclosure Statement is believed to be timely in that it is being submitted under 37 CFR 1.97(b)(3) before the mailing of a first Office Action on the merits. Therefore, no petition or fee is required. If, however, counsel for Applicant is in error in this regard, the Commissioner is authorized to charge the fee set forth in 37 CFR 1.17(p) to counsel's Deposit Account No. 50-1273.

Respectfully submitted,

BROBECK, PHLEGER & HARRISON LLP

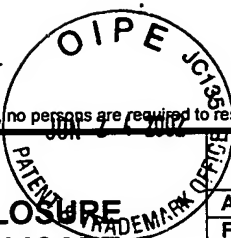
Dated: June 24, 2002

By: Richard H. Pagliery  
Richard H. Pagliery  
Reg. No. 44,276

RHP/dlc

**BROBECK, PHLEGER & HARRISON LLP**  
12390 El Camino Real  
San Diego, CA 92130-2081  
Telephone: (858) 720-2500  
Facsimile: (858) 720-2555

Please type a plus sign (+) inside this box → +



PTO/SB/08A (08-00)  
Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

Complete if Known

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Applicati n Numb r 10/080,503  
Filing Date 02/22/02  
First Named Inventor Robert I. Higuchi  
Group Art Unit 1614  
Examiner Name To be assigned  
Attorney Docket Number 015110.0058.UTL1

RECEIVED  
JUL 03 2002  
TECH CENTER 1600/2900

## U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	5,696,130		Todd K. Jones, <i>et al.</i>	12-09-97	

## FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	AB		WO 97/49709		James P. Edwards, <i>et al.</i>	12-31-97		

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AC	EVANS, R., "The Steroid and Thyroid Hormone Receptor Superfamily," <u>Science</u> , 240:889-895 (1988)	
	AD	HAMANN, L., <i>et al.</i> , "Synthesis and Biological Activity of a Novel Series of Nonsteroidal, Peripherally Selective Androgen Receptor Antagonists Derived from 1,2-Dihydropyridono[5,6-g]quinolines," <u>J. Med. Chem.</u> , 41:623-639 (1998)	
	AE	EDWARDS, J., <i>et al.</i> , "New Nonsteroidal Androgen Receptor Modulators Based on 4-(Trifluoromethyl)-2(1H)-Pyrrolidino[3,2-g]Quinolinone," <u>Bioorganic &amp; Medicinal Chemistry Letters</u> , 8:745-750 (1998)	
	AF	EDWARDS, J., <i>et al.</i> , "Nonsteroidal Androgen Receptor Agonists Based on 4-(Trifluoromethyl)-2H-Pyrano[3,2-g]Quinolin-2-One," <u>Bioorganic &amp; Medicinal Chemistry Letters</u> , 9:1003-1008 (1999)	
	AG	HIGUCHI, R., <i>et al.</i> , "4-Alkyl- and 3,4-Dialkyl-1,2,3,4-Tetrahydro-8-Pyridono[5,6-g]Quinolines: Potent, Nonsteroidal Androgen Receptor Agonists," <u>Bioorganic &amp; Medicinal Chemistry Letters</u> , 9:1335-1340 (1999)	

Examiner  
Signature

Date  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation is not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

**Complete if Known**

<b>Applicati n Number</b>	10/080,503
<b>Filing Date</b>	02/22/02
<b>First Named Inv nt r</b>	Robert I. Higuchi
<b>Group Art Unit</b>	1614
<b>Examiner Name</b>	To be assigned
<b>Attorney Docket Number</b>	015110.0058.UTL1

Sheet	2	of	2
-------	---	----	---

[illegible]

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. **DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:** Assistant Commissioner for Patents, Washington, DC 20231.